

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
REQUEST FOR FILING NATIONAL PHASE OF
PCT APPLICATION UNDER 35 U.S.C. 371 AND 37 CFR 1.494 OR 1.495**

To: Asst. Commissioner of Patents
and Trademarks
Washington, D.C. 20231

(Our Deposit Account No. 03-3975)

09/530867

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)

Atty Dkt: PM 268772 /1144015/DV/MB
M# /Client Ref.

From: Pillsbury Madison & Sutro LLP, IP Group:

Date: May 5, 2000

This is a **REQUEST** for **FILING** a PCT/USA National Phase Application based on:

| | | |
|--|--|--|
| 1. International Application <u>PCT/CH97/00425</u> <u>↑ country code</u> | 2. International Filing Date 7 November 1997 Day <u>MONTH</u> Year | 3. Earliest Priority Date Claimed 7 November 1997 Day <u>MONTH</u> Year (use item 2 if no earlier priority) |
|--|--|--|

4. Measured from the earliest priority date in item 3, this PCT/USA National Phase Application Request is being filed within:

(a) ☐ 20 months from above item 3 date (b) ☒ 30 months from above item 3 date,

(c) Therefore, the due date (unextendable) is May 7, 2000

5. Title of Invention IDENTIFICATION CARD AND IDENTIFICATION METHOD

6. Inventor(s) RITTER et al.

Applicant herewith submits the following under 35 U.S.C. 371 to effect filing:

☒ Please immediately start national examination procedures (35 U.S.C. 371 (f)).

8. ☐ A copy of the International Application as filed (35 U.S.C. 371(c)(2)) is transmitted herewith (file if in English but, if in foreign language, file only if not transmitted to PTO by the International Bureau) including:

a. ☐ Request;

b. ☐ Abstract;

c. pgs. Spec. and Claims;

d. sheet(s) Drawing which are ☐ informal ☐ formal of size ☐ A4 ☐ 11"

9. ☒ A copy of the International Application has been transmitted by the International Bureau.

10. A translation of the International Application into English (35 U.S.C. 371(c)(2))

a. ☒ is transmitted herewith including: (1) ☒ Request; (2) ☒ Abstract;

(3) 14 pgs. Spec. and Claims;

(4) 4 sheet(s) Drawing which are:

☐ informal ☒ formal of size ☒ A4 ☐ 11"

b. ☐ is not required, as the application was filed in English.

c. ☐ is not herewith, but will be filed when required by the forthcoming PTO Missing Requirements Notice per Rule 494(c) if box 4(a) is X'd or Rule 495(c) if box 4(b) is X'd.

d. ☒ Translation verification attached (not required now).

RE: USA National Filing of PCT/CH97/00425

526 Rec'd PCT/PTO 05 MAY 2000

11. ☒ **PLEASE AMEND** the specification before its first line by inserting as a separate paragraph:
a. ☒ --This application is the national phase of international application PCT/CH97/00425
filed November 7, 1997 which designated the U.S.--
b. ☐ --This application also claims the benefit of U.S. Provisional Application No.
60/_____, filed _____.
12. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)), i.e., **before 18th month from first priority date above in item 3, are transmitted herewith (file only if in English) including:**
13. ☒ PCT Article 19 claim amendments (if any) have been transmitted by the International Bureau
14. ☒ Translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)), i.e., of **claim amendments** made before 18th month, is attached (**required by 20th month from the date in item 3 if box 4(a) above is X'd, or 30th month if box 4(b) is X'd, or else amendments will be considered canceled.**).
15. **A declaration of the inventor** (35 U.S.C. 371(c)(4))
a. ☐ is submitted herewith ☐ Original ☐ Facsimile/Copy
b. ☒ is not herewith, but will be filed when required by the forthcoming PTO Missing Requirements Notice per Rule 494(c) if box 4(a) is X'd or Rule 495(c) if box 4(b) is X'd.
16. **An International Search Report (ISR):**
a. Was prepared by ☒ European Patent Office ☐ Japanese Patent Office ☐ Other
b. ☒ has been transmitted by the international Bureau to PTO.
c. ☒ copy herewith (3 pg(s).) ☒ plus Annex of family members (2 pg(s).).
17. **International Preliminary Examination Report (IPER):**
a. ☒ has been transmitted (if this letter is filed after 28 months from date in item 3) in English by the International Bureau with Annexes (if any) in original language.
b. ☐ copy herewith in English.
c. 1 ☒ IPER Annex(es) in original language ("Annexes" are amendments made to claims/spec/drawings **during Examination**) including attached amended:
c.2 ☒ Specification/claim pages #2, 2a, 4, 10, 11 claims #1-34
Dwg Sheets #4
d. ☒ Translation of Annex(es) to IPER (**required by 30th month due date, or else annexed amendments will be considered canceled.**).
18. **Information Disclosure Statement** including:
a. ☒ Attached Form PTO-1449 listing documents
b. ☐ Attached copies of documents listed on Form PTO-1449
c. ☒ A concise explanation of relevance of ISR references is given in the ISR.
19. ☐ **Assignment** document and Cover Sheet for recording are attached. Please mail the recorded assignment document back to the person whose signature, name and address appear at the end of this letter.
20. ☒ Copy of Power to IA agent.
21. ☐ **Drawings** (complete only if 8d or 10a(4) not completed): ____ sheet(s) per set: ☐ 1 set informal;
☐ Formal of size ☐ A4 ☐ 11"
22. ☐ ____ (No.) **Verified Statement(s)** establishing "small entity" status under Rules 9 & 27
23. **Priority** is hereby claimed under 35 U.S.C. 119/365 based on the priority claim and the certified copy, both filed in the International Application during the international stage based on the filing in (country) Switzerland of:
- | | Application No. | Filing Date | | Application No. | Filing Date |
|-----|-----------------|------------------|-----|-----------------|-------------|
| (1) | PCT/CH97/00425 | November 7, 1997 | (2) | _____ | _____ |
| (3) | _____ | _____ | (4) | _____ | _____ |
| (5) | _____ | _____ | (6) | _____ | _____ |
- a. ☒ See Form PCT/IB/304 sent to US/DO with copy of priority documents. If copy has not been received, **please proceed promptly to obtain same from the IB.**
b. ☐ Copy of Form PCT/IB/304 attached.

RE: USA National Filing of PCT/CH9 425

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24. Attached: Form PCT/IB/306 Notification of the Recording of a Change

25. Preliminary Amendment: ATTACHED

25.5 Per Item 17.c2, cancel original pages #_____, claims #_____, Drawing Sheets #26. **Calculation of the U.S. National Fee (35 U.S.C. 371 (c)(1)) and other fees is as follows:**Based on amended claim(s) per above item(s) ☐ 12, ☒ 14, ☒ 17, ☒ 25, ☐ 25.5 (hiliate)

| | | | | |
|--|------------|-----------------|-------|---------|
| Total Effective Claims | minus 20 = | x \$18/\$9 | = \$0 | 966/967 |
| Independent Claims | minus 3 = | x \$78/\$39 | = \$0 | 964/965 |
| If any proper (ignore improper) Multiple Dependent claim is present, | | add \$260/\$130 | +0 | 968/969 |

BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(4)): →→ **BASIC FEE REQUIRED, NOW** →→→→A. If country code letters in item 1 are not "US", "BR", "BB", "TT", "MX", "IL", "NZ", "IN" or "ZA"

See item 16 re:

| | | | |
|--|-----------------|------|---------|
| 1. Search Report was <u>not</u> prepared by EPO or JPO ----- | add \$970/\$485 | | 960/961 |
| 2. Search Report was prepared by EPO or JPO ----- | add \$840/\$420 | +840 | 970/971 |

SKIP B, C, D AND E UNLESS country code letters in item 1 are "US", "BR", "BB", "TT", "MX", "IL", "NZ", "IN" or "ZA"

| | | | |
|---|-----------------|----|---------|
| → <input type="checkbox"/> B. If <u>USPTO</u> did not issue <u>both</u> International Search Report (ISR) <u>and</u> (if box 4(b) above is X'd) the International Examination Report (IPER), ----- | add \$970/\$485 | +0 | 960/961 |
| (only) <input type="checkbox"/> C. If <u>USPTO</u> issued ISR but not IPER (or box 4(a) above is X'd), ----- | add \$690/\$345 | +0 | 958/959 |
| (one) → <input type="checkbox"/> D. If <u>USPTO</u> issued IPER but IPER Sec. V boxes <u>not all</u> 3 YES, ----- | add \$670/\$335 | +0 | 956/957 |
| (of) <input type="checkbox"/> E. If international preliminary examination fee was paid to <u>USPTO</u> <u>and</u> Rules 492(a)(4) and 496(b) <u>satisfied</u> (IPER Sec. V <u>all</u> 3 boxes YES for <u>all</u> claims), ----- | add \$96/\$48 | +0 | 962/963 |
| (these) 4) → | | | |
| (boxes) | | | |

27. **SUBTOTAL = \$840**

28. If Assignment box 19 above is X'd, add Assignment Recording fee of ---\$40 +0 (581)

29. Attached is a check to cover the ----- **TOTAL FEES \$840**

Our Deposit Account No. 03-3975

Our Order No. 60237

C#

268772

M#

CHARGE STATEMENT: The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any missing or insufficient fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 and 492 (missing or insufficient fee only) now or hereafter relative to this application and the resulting Official document under Rule 20, or credit any overpayment, to our Account/Order Nos. shown above for which purpose a duplicate copy of this sheet is attached.

This CHARGE STATEMENT does not authorize charge of the issue fee until/unless an issue fee transmittal form is filed

Pillsbury Madison & Sutro LLP
Intellectual Property Group

1100 New York Avenue, NW
 Ninth Floor
 Washington, DC 20005-3918
 Tel: (202) 861-3000
 Atty/Sec: DSL/nlh

By Atty: Dale S. Lazar

Sig: *[Signature]* 28458

Reg. No. 28872

Fax: (202) 822-0944
 Tel: (202) 861-3527

NOTE: File in duplicate with 2 postcard receipts (PAT-103) & attachments.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

COMPLETION OF FILING NATIONAL PHASE OF PCT APPLICATION
UNDER RULE 35 USC 371 AND 37 CFR 1.494(C) OR 1.495(C)**BOX PCT****COMPLETION**
For PCT Cases OnlyIn re PATENT APPLICATION of

Inventor(s): RITTER et al.

Attn: Application Division

Appl. No.: 09 | 530,867
Series Code \uparrow | Serial No. \uparrow Atty. Dkt. PM 268772 | 114401.5/DV/mb
M# | Client Ref

National Phase Field

Based on PCT CH97 | 00425 \uparrow Country Code & Year

Title: IDENTIFICATION CARD AND IDENTIFICATION METHOD

Date: July 6, 2000

FILING OF ITEM(S) LATE IN PCT/USA NATIONAL CASE

Asst. Commissioner of Patents

Washington, DC 20231

Sir:

The following completes the filing of the subject application under Rule 494(c)/495(c). Please accept the following attached items:

1. Missing Requirements Notice (PCT/DO/EO/905) ☒ copy attached ☐ not yet received
2. ☒ **Signed Declaration** ☒ Original ☐ Facsimile/Copy ☐ with spec/claims attached
3. ☐ **Translation** of the International Application into English including:
 - a. ☐ Request;
 - b. ☐ Abstract
 - c. pgs. Spec. and Claims;
 - d. ☐ Translation verification
 - e. sheets Drawing which are: ☐ informal ☐ formal of size ☐ A4 ☐ 11"
4. ☐ Copy of **International Search Report (ISR)** attached (page(s))
 - a. ☐ plus Annex of family members (page(s))
5. **Information Disclosure Statement** including
 - a. ☐ From PTO-1449 listing documents
 - b. ☐ Copies of document(s) listed on Form PTO-1449
 - c. ☐ A concise explanation of ISR references is given in the ISR
6. ☒ **Assignment** and cover sheet. Please return the recorded assignment to the undersigned.

07/17/2000 ☐ Copy of Cover Sheet of International application agent.01 FC:966 252.00 DP
02 FC:154 36.00 DP (No.) Small Entity Status Statement(s) establishing "small entity" status under Rules 9 & 27.

9. ☐ Formal Drawings: sheet(s) ☐ informal; ☐ formal of size: ☐ A4 ☐ 11"
10. ☒ Please immediately start national examination procedures (35 USC 371(f))

11. ☐ Attached:
12. ☐ Preliminary Amendment:
13. ☒ Basic U.S. National fee per Rule 492(a)(1)-(4) was previously timely filed.:
14. **Calculation of remaining fees due (if any):** based on amended claim(s) per above item
☐ 12 (above) or item(s) in PAT-112 (filed previously) ☐ 12 ☒ 14 ☒ 17 ☒ 25
15. **CLAIMS FEES** ☐ previously paid ☒ paid herewith as follows:
- 15A. Small Entity Statement ☐ Herewith ☐ Previously Filed

| | | | | Large/Small Entity | | Fee Code |
|---|----|------------|----|--------------------|----------------|----------|
| 16. Total Effective Claims | 34 | minus 20 = | 14 | x \$18/\$9 | +252 | 966/967 |
| 17. Independent Claims | 3 | minus 3 = | 0 | x \$78/\$39 | +0 | 964/965 |
| 18. If any proper multiple dependent claim (ignore improper) is present, | | | | \$260/\$130 | +0 | 968/969 |
| 19. Filing Declaration late, fee paid <input type="checkbox"/> previously <input checked="" type="checkbox"/> now | | | | \$130/\$65 | +130 | 154/254 |
| 20. SUBTOTAL | | | | | \$382 | |
| 21. Original due date: July 8, 2000 | | | | | | |
| 22. Petition is hereby made to extend the original due date to | | | | (1 mo) | \$110/\$55 = | +0 |
| cover the date this response is filed for which the requisite fee | | | | (2mos) | \$380/\$190 = | 115/215 |
| is attached | | | | (3mos) | \$870/\$435 = | 116/216 |
| | | | | (4mos) | \$1360/\$680 = | 117/217 |
| 23. If "non-English" box 3 is X'd, add Rule 17(k) processing fee | | | | \$130 | +0 | 118/218 |
| 24. If "assignment" box 6 is X'd, add recording fee. | | | | \$40 | +40 | 139 |
| 25. TOTAL FEE ENCLOSED = | | | | | \$422 | 581 |

(Our Deposit Account No. 03-3975)

(Our Order No. 60237 268772
C# M#)

CHARGE STATEMENT: The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any missing or insufficient fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 (missing or insufficient fee only) now or hereafter relative to this application and the resulting Official document under Rule 20, or credit any overpayment, to our Account/Order Nos. shown above for which purpose a duplicate copy of this sheet is attached.

This CHARGE STATEMENT does not authorize charge of the issue fee until/unless an issue fee transmittal form is filed.

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Intellectual Property Group

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By Atty: Dale S. Lazar

Reg. No. 28872

Sig:

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NOTE: File in duplicate with PTO receipt (PAT-103A) and attachments